SUMMARY OF
QPS THIRD-PARTY CERTIFICATION PROGRAM

1. GENERAL

QPS operates two third-party certification systems/programs that meet the relevant North American and International accreditation criteria, and defined in ISO/IEC Guide 67 as follows:

Type 3 Certification System - System 3

This system consists of the following activities:

Testing of representative samples of the product involved to the testing requirements of the applicable standard.

a) Evaluation of the construction of the product to the construction requirements of the applicable standard
b) Determination of compliance
c) Issuing a "Findings Letter" describing the actions to be taken to bring the product into compliance
d) Initial assessment of the factory
e) Decision on the certifiability of the product
f) Factory surveillance

Type 1 Certification System - System 1a

This system consists of the same activities as System 3, except for items (d) and (f)

The policies and procedures that guide the operation of the two certification programs are administered in a nondiscriminatory manner and are not used to inhibit or impede access by applicants. QPS services are available to all applicants that meet the terms and conditions covered by the policies of the applicable program.

Following is a detailed summary of the major elements of Type 3 Certification System.

2. INITIAL REQUEST

The client submits to QPS a "Request for Quotation" (RFQ) for the testing and evaluation of their products. The request is made either by filling out a formal RFQ form, or simply by email or a letter. At the time the request is made, the client must also provide the following:

- Information on the product such as sales literature, photos, manual, drawings, schematics, etc. This data enables QPS to determine the scope of testing involved and associated costs.
- Information on al the factories and all manufacturing sites where the product is manufactured, such as name, address, etc.
- Information on compliance of critical safety components used in the product.

3. CONTRACT REVIEW/QUOTATION

Upon review of the information provided, a "documentation package" is sent by QPS to the client containing the following documents:

- **Quotation**: A form indicating the standard(s) to be used in the evaluation, service deliverables, estimated fees involved, assumptions on which the fees are based, the amount of deposit required to commence work, test samples needed for testing, service terms, and any additional information that may be required.
- **Application Form**: to be completed and signed by the applicant, after the quote has been accepted.
- **Service Agreement**: to be signed by the applicant after the quote has been accepted.
- **List of Safety Critical Components**: to be filled out by the applicant, where applicable.
- **Testing Location**: The name and location of the subcontract laboratory, if testing is subcontracted.

4. FEES

The fee indicated in the quotation is based on a review of the documentation provided and covers one evaluation of the product. The quoted fee does not cover any retesting or re-evaluation that may be necessary in the event of failure, nor

does it cover testing of individual components/subassemblies used within the product to determine compliance with the applicable component standards.

5. PRODUCT SUBMISSION

Upon acceptance of the quotation, the client provides to QPS the following:

- Completed and signed "**Application Form**"
- Completed and signed "**Service Agreement**"
- Completed "**List of Safety Critical Components"**
- A "**Purchase Order**" covering the expenses noted in the quotation letter
- A "**Deposit**" (if required)
- One or more representative "**Test Sample**" of the product in question.

6. SAMPLE SELECTION

Test samples required to be submitted to QPS for evaluation must be representative of production and should be selected at random, either directly from production or from warehoused stock. In the event that samples are prototypes, QPS reserves the right to verify compliance on production samples.

7. PROJECT INITIATION

Upon receipt and verification of the submitted material, the following major activities are initiated by QPS:

- A qualified "**Project Engineer**" is assigned to test and evaluate the product.
- A **"File Number"** is assigned to first time clients, identifying the client in question. This number is used as a **"Control Number"** for traceability.
- A "**Project Number**" is assigned to the specific project.

8. TESTING LOCATION & OPTIONS

Testing and evaluation of a product is, in general, performed at QPS's own laboratories.

In some cases, testing may be subcontracted to an external independent laboratory qualified by QPS. In such cases, QPS will inform the client accordingly and obtain approval in writing. QPS remains fully and completely responsible for the outcome of testing, for the integrity of all test data generated by the subcontracted lab, and for final certification of the product.

Testing can also be conducted at the client's facility under one of the following QPS service options. Details on these service options are available to clients upon request.

- Testing at Manufacturer's Premises.
- Witnessed Testing
- Supervised Manufacturer Testing

9. STANDARDS EMPLOYED AND INTERPRETATION

The product is tested and evaluated to the current edition(s) of the relevant national and/or international standard(s).

If a question arises concerning the interpretation of a requirement in a standard as applied to a product, members of QPS "**Technical Think Tank**", or the relevant "**Standards Writing Committee**" will be consulted to help resolve the problem.

10. FINDINGS LETTER

Upon completion of testing/evaluation, QPS will issue a formal "**Findings Letter**" containing the outcome of investigation, the status of compliance. The letter will include any constructional features or test results that do not comply with the applicable standards, any actions required by the client to bring the product into compliance, and any other certification conditions that the client must meet. QPS will attempt to complete the entire test/evaluation program before formally reporting its findings.

The client must respond to all the items indicated in the Findings Letter before QPS can continue the certification process.

11. RESUBMISSION

In the event that test failures or constructional deficiencies are encountered during the investigation, the client may be required to provide **improved samples** of the product for re-testing and re-evaluation. In such cases, QPS will provide the client with new estimates of the re-test/re-evaluation costs.

12. INITIAL FACTORY INSPECTION

In accordance with Accreditation Criteria, QPS will perform an "Initial Factory Inspection" (IFI) prior to granting certification. The purpose of the IFI is to determine if the factory:

- Has the necessary quality control procedures and the means to manufacture the certified product(s) in question on a continuing basis within the parameters specified in the Certification Documentation.
- Has properly trained and qualified technical personnel, has the required test equipment, and adequate test procedures to perform the required "Production Testing" prescribed in the Certification Report.
- Has the necessary procedures to control the QPS Certification Mark/Label as stipulated in the Service Agreement.
- Has adequate procedures for recording test failures, customer complaints, and the associated corrective actions.

The IFI is performed by a QPS Field Service Representative at each manufacturing site where the QPS Certification Mark/Label will be applied prior to shipping products with the Mark. In some instances, the IFI may be combined with the first regular "Factory Inspection" visit.
QPS may waive the IFI only under certain circumstances.

13. SERVICE AGREEMENT

Before certification is granted, the client must sign a "**Service Agreement**" with QPS.

This Agreement forms a legally binding contract between QPS and each of the parties responsible for the manufacture of the product and the use of the QPS Certification Mark.

The Agreement defines the duties and responsibilities of all parties, and establishes legal control by QPS over the use of the QPS Certification Mark/Labels.

14. CERTIFICATION

When the tested/evaluated product is found to be in compliance with the applicable standards, and the client has fulfilled all the terms and conditions of certification (including the signing of the Service Agreement) QPS will issue a "**Certificate of Compliance**" (CoC) granting the client the authority to display the **QPS Certification Mark/Label** on complying products. QPS will also issue a "**Certification Report**" which provides a detailed description of all the important and critical features of the certified product.

15. USE OF THE CERTIFICATION MARK

A camera ready artwork of the **QPS Certification Mark** must be procured solely through QPS or a QPS approved source. The client may be authorized to incorporate the Certification Mark as an integral part of the product or nameplate.
The client is also given the option to obtain Certification Labels directly from QPS.

16. DIRECTORY OF CERTIFIED PRODUCTS

After granting of certification, QPS will include the product in the QPS **"Directory of Certified Products"** which is available on our website and to the public as per Accreditation Criteria.

17. USE OF QPS NAME AND CERTIFICATION MARK/LABELS

Use of QPS's name, logo or Certification Mark/Label on products, brochures, advertising/sales literature, etc. which indicates or implies that a product is certified by QPS is not permitted until the client receives written authorization from QPS to do so.

18. FACTORY INSPECTIONS

Products certified by QPS are subject to a **"Factory Inspection Program"** consisting of unannounced inspection visits to the factory where the product is manufactured and the QPS Certification Mark/Label is applied. The appearance of the QPS Certification Mark on the product is the means to indicate that the product is certified and is being manufactured under the terms of the Service Agreement.

The purpose of the inspection visits is to ensure that:

- The certified products are manufactured in accordance with the Certification Report.
- The required "Production Tests" are being conducted.
- Established quality/production control procedures are still being followed.

The client must pay for the costs of on-going factory inspections and an "**Annual Maintenance Fee**" for the use of the Certification Mark

19. REVISIONS/CHANGES TO CERTIFIED PRODUCTS

Certified products must be built in accordance with the Certification Report and the requirements of the relevant standard(s). The client is required to report to QPS any changes or modifications made to the design or construction of the certified product that may affect its compliance with the requirements and the Certification Report. QPS will review the proposed changes and make a decision if retesting or additional testing is required. The client is not permitted to continue labeling the product involved until QPS has investigated and approved the changes.

20. REVISIONS TO STANDARDS

Periodically, standards are updated or revised to incorporate new requirements which may necessitate retesting of certified products to determine compliance with the new requirements. In such cases, QPS will notify the client in writing. The client will be required to identify which certified products are to continue to be certified, and a determination will be made as to the samples required for re-evaluation.

21. BILLING PROCEDURE

Typically, billing is done upon completion of the work involved. For projects whose scope is such that work may extend over several months, progress billing on monthly and work completed basis will occur.

22. APPEALS PROCEDURE

QPS has in place an "**Appeal Procedure**" that meets the requirements of the relevant Accreditation Bodies, and is available to all clients upon request. The appeal procedure allows the client to present their views at successive levels of QPS management should agreement not be reached at the project manager level.